

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of:

Applicant: M. Moriya et al.  
Serial No.: Unknown  
Filed: Herewith  
For: **OPTICAL RECORDING MEDIUM HAVING DUAL INFORMATION SURFACES**  
Art Unit: Unknown  
Examiner: Unknown

INFORMATION DISCLOSURE STATEMENT

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, pending applications, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120:

Serial No.: 10/267,601 \_\_\_\_\_  
Filing Date: 10/9/2002 \_\_\_\_\_

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) ☐ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) ☐ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

- (a) ☒ Within 3 months of the filing date or date of entry into the National Stage.
- (b) ☐ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 18-0988 for consideration of this Statement.
- (c) ☐ Before the mailing date of a first Office Action on the merits after a first or second submission under 37 C.F.R. 1.129(a).

(d) \_\_\_ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.

(1) \_\_\_ The required certification is given below, or

(2) \_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement, or

(3) \_\_\_ Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 18-0988.

(e) \_\_\_ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.

(1) \_\_\_ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p), or

(2) \_\_\_ Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 18-0988.

4. Certification (if applicable)

(a) \_\_\_ The undersigned hereby certifies that each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.

(b) \_\_\_ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 18-0988.

Respectfully submitted,

RENNER, OTTO, BOISSELLE & SKLAR, LLP

Date February 5, 2004

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Cleveland, Ohio 44115  
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By   
Mark D. Saralino, Reg. No. 34,243

Form PTO-1449 (Modified)  LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	Atty Docket No.: YAMAP0388USI	Serial No.: Unknown
	Applicant: Moriya et al.	
	Filing Date: Herewith	Group: Unknown

## REFERENCE DESIGNATION U.S. PATENT DOCUMENTS

Examiner's Initials		Document Number							Date	Name	Class	Subclass	Filing Date If Approp.
	AA	4	4	5	0	5	5	3	05/84	Holster et al.	369	275	
	AB	4	7	2	6	0	0	8	02/88	Renaud	369	94	
	AC	4	8	0	9	0	2	2	02/89	Wilkinson et al.	346	135.1	
	AD	4	9	0	8	8	1	3	03/90	Ojima et al.	369	94	
	AF	4	9	7	2	4	0	4	11/90	Yamaguchi et al.	369	284	
	AF	5	1	4	6	4	3	8	09/92	Harper	369	13	
	AG	5	2	0	2	8	8	0	04/93	Lee et al.	369	275.2	
	AH	5	3	0	3	2	2	5	04/94	Satoh et al.	369	275.3	
	AI	5	3	1	2	6	6	3	05/94	Kosinski et al.	428	64	
	AJ	5	3	6	0	6	5	2	11/94	Kobayashi et al.	428	64	
	AK	5	4	0	1	6	1	0	03/95	Miwa et al.	430	271	
	AL	5	4	2	0	8	3	4	05/95	Finkelstein et al.	369	13	
	AM	5	4	2	8	5	9	7	06/95	Satoh et al.	369	275.1	
	AN	5	4	7	0	6	2	7	11/95	Lee et al.	428	64.4	
	AO	5	4	7	9	3	9	4	12/95	Yashima et al.	369	275.4	
	AP	5	4	8	5	4	5	2	01/96	Maeda	369	284	
	AQ	5	5	3	3	0	0	1	07/96	Watanabe et al.	369	275.2	
	AR	5	6	0	6	5	4	6	02/97	Best et al.	369	275.1	
	AS	5	6	0	8	7	1	5	03/97	Yokogawa et al.	369	275.1	
	AT	5	6	0	8	7	1	7	03/97	Ito et al.	369	275.3	
	AU	5	6	0	8	7	1	8	03/97	Schiewe	369	275.4	
	AV	5	6	2	5	0	0	9	04/97	Latta et al.	369	44.23	
	AW	5	6	2	7	8	1	4	05/97	Lee	369	116	
	AX	5	6	2	9	9	1	7	05/97	Kamatani	369	112	
	AY	5	6	7	3	2	5	1	09/97	Suzuki et al.	637	275.4	

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

## Information Disclosure Statement PTO-1449 (Modified)

The identification of any reference is not intended to be, and should not be understood as being, an admission that such publication, in fact, constitutes "prior art" within the meaning of applicable law since, for example, a given reference may have a later effective date than first seems apparent or the reference may have an effective date which can be antedated. The "prior art" status of any reference is a matter to be resolved during prosecution.

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Examiner's Initials		Document Number							Date	Name	Class	Subclass	Filing Date If Approp.
	AA	5	7	0	3	8	6	8	12/97	Kobayashi et al.	369	286	
	AB	5	7	0	8	6	5	2	01/98	Ohki et al.	369	275.1	
	AC	5	7	0	8	6	5	3	01/98	Okada et al.	369	275.1	
	AD	5	7	1	6	7	6	1	02/98	Iida et al.	430	321	
	AE	5	7	2	6	9	6	9	03/98	Moriya et al.	369	275.1	
	AF	5	7	2	9	5	3	3	03/98	Marquardt	369	273	
	AC	5	7	6	4	6	1	9	06/98	Nishiuchi	369	275.1	
	AH	5	8	7	8	0	1	8	08/99	Moriya	369	275.1	
	AI	5	9	3	0	2	2	5	07/99	Ishida et al.	369	275.1	
	AJ	5	9	3	3	4	0	9	08/99	Kato et al.	369	275.1	
	AK	5	9	3	6	9	3	4	08/99	Kuribayashi et al.	369	286	
	AL	6	0	3	1	8	1	3	02/00	Moriya et al.	369	275.1	
	AM	6	1	4	3	4	2	6	11/00	Moriya et al.	428	641	
	AN	6	2	8	0	8	1	2	08/01	Moriya et al.	428	64.1	

## FOREIGN PATENT DOCUMENTS

Examiner's Initials		Document Number							Date	Country	Class	Subclass	Translation	
													Yes	No
	AO	9	6	2	8	8	1	8	09/96	PCT	G11B	7/135	X	
	AP	4	0	9	6	6	3		01/91	Europe	G11B	7/24	X	
	AQ	4	3	7	2	2	3		07/91	Europe	G11B	3/24	X	
	AR	5	2	0	6	1	9		12/92	Europe	G11B	7/24	X	
	AS	7	0	6	1	7	8		04/96	Europe	G11B	7/26	X	
	AT	7	3	7	9	6	6		10/96	Europe	G11B	7/24	X	
	AU	7	4	5	9	8	5		12/96	Europe	G11B	7/24	X	
	AV	4	0	4	1	1	9	9	09/92	Germany	C09J	5/00	X	

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	AA						
	AB						
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	AE						
	AF						
	AG						

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Examiner's Initials		Document Number								Date	Country	Class	Subclass	Translation	
														Yes	No
	AH	6	1	2	4	8	2	4	6	11/86	Japan	G11B	7/24	X	
	AI	0	2	1	6	5	4	3	9	06/90	Japan	G11B	7/135	X	
	AJ	0	3	0	3	5	4	4	6	02/91	Japan	G11B	7/24	X	
	AK	0	3	2	0	9	8	4	2	09/91	Japan	G11B	7/24	X	
	AL	0	3	2	6	8	2	5	1	11/91	Japan	G11B	11/10	X	
	AM	0	5	6	6	6	5	7	1	1/93	Japan			X	
	AN	0	4	3	0	5	8	4	5	10/1992	Japan			X	

## OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)

	AO	Search Report for European Patent Application Serial No. 95120544.2 dated January 30, 1997.
	AP	Search Report for European Patent Application Serial No. 98110772.5 dated January 28, 1999.
	AQ	Office Action for Korean Patent Application Serial No. 95-72171 dated November 23, 1998.
	AR	Chinese Office Action Patent Application No. 99105035.5 dated November 7, 2003
	AS	Concurrently filed Sibling Continuation Applications (Attorney Docket Nos. YAMAP0388USG, YAMAP0388USH and YAMAP0388USJ)

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